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JC10 Rec'd PCT/PTO 08 APR 2005

FORM PTO 1390 (REV 10-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 543822005500
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/501,464
INTERNATIONAL APPLICATION NO. PCT/EP03/00087	INTERNATIONAL FILING DATE 8 January 2003	PRIORITY DATE CLAIMED 15 January 2002	
TITLE OF INVENTION METHOD FOR MASKING A RECESS IN A STRUCTURE HAVING A HIGH ASPECT RATIO			
APPLICANT(S) FOR DO/EO/US Dirk EFFERENN et al.			

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing 35 U.S.C. 371.
- ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
- ☐ The US has been elected (Article 31).
- ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - ☐ is attached hereto (required only if not communicated by the International Bureau).
 - ☐ has been communicated by the International Bureau.
 - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - ☐ is attached hereto.
 - ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - ☐ are attached hereto (required only if not communicated by the International Bureau).
 - ☐ have been communicated by the International Bureau.
 - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - ☐ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
- ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

- ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☐ A preliminary amendment.
- ☐ An Application Data Sheet under 37 CFR 1.76.
- ☐ A substitute specification.
- ☐ A power of attorney and/or change of address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
- ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
- ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
- ☒ Other items or information: Copy of Stamped Postcard; Copies of English Translation and Substitute Specification

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/501,464	INTERNATIONAL APPLICATION NO. PCT/EP03/00087	ATTORNEY'S DOCKET NUMBER 543822005500
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21. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)):

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1080.00

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	9 -20 =	0	x	\$	0.00
Independent claims	1 -3 =	0	x	\$	0.00
MULTIPLE DEPENDENT CLAIM(s) (if applicable)				+	\$
TOTAL OF ABOVE CALCULATIONS =				\$	0.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$	130.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$	
TOTAL NATIONAL FEE =				\$	130.00
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$ 40.00
TOTAL FEES ENCLOSED =				\$	170.00
<div style="display: flex; justify-content: space-between;"> <div> 04/13/2005 SNAJARRD 00000049 031952 10501464 01 FC:1617 </div> <div> 130.00 DA </div> </div>				Amount to be refunded:	\$
				charged:	\$

CALCULATIONS PTO USE ONLY

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 03-1952 in the amount of \$ 170.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1952. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Kevin R. Spivak
MORRISON & FOERSTER LLP
1650 Tysons Boulevard, Suite 300
McLean, Virginia 22102
Telephone: 703.760.7700
Facsimile: 703.760.7777

SIGNATURE: _____
Kevin R. Spivak

NAME _____

43,148

REGISTRATION NUMBER _____



UNITED STATES PATENT AND TRADEMARK OFFICE

KRS/JXR
UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/501,464	Dirk Efferenn	543822005500

INTERNATIONAL APPLICATION NO.

PCT/EP03/00087

I.A. FILING DATE

01/08/2003

PRIORITY DATE

01/15/2002

Kevin R. Spivak
Morrison & Foerster
2000 Pennsylvania Avenue
Washington, DC 20006

DOCKETED Miss Reg DueREMINDER: 3/8/05DUE DATE: 4/8/05FINAL DUE DATE: 9/8/05

CONFIRMATION NO. 4558

371 FORMALITIES LETTER



OC000000015109894

Date Mailed: 02/08/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 07/14/2004
- Copy of the International Search Report filed on 07/14/2004
- Copy of IPE Report filed on 07/14/2004
- Preliminary Amendments filed on 07/14/2004
- Information Disclosure Statements filed on 09/11/2004
- Oath or Declaration filed on 07/14/2004
- Copy of references cited in ISR filed on 07/14/2004
- U.S. Basic National Fees filed on 07/14/2004
- Priority Documents filed on 07/14/2004

RECEIVED

FEB 11 2005

MORRISON & FOERSTER LLP

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. Note a processing fee will be required if submitted later than 30 months from the priority date.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR 1.492(e)) is required.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/501,464	PCT/EP03/00087	543822005500

FORM PCT/DO/EO/905 (371 Formalities Notice)

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JUL 22 2004

MORRISON & FOERSTER LP

ATTORNEY DOCKET: 543822005500

MAILING DATE: July 14, 2004

SERIAL NO.:

10/501464

ATTY/Secy.: KRS/jxr11

INVENTORS:

Dirk EPPERENN et al.

FILING DATE: July 14, 2004

TITLE: METHOD FOR MASKING A RECESS IN A STRUCTURE HAVING A HIGH ASPECT RATIO

Papers enclosed herewith:

- ☒ Transmittal Form
- ☐ Fee Transmittal
- ☒ Specification including claims and abstract
- ☒ Drawings (2 sheets)
- ☐ Declaration and Power of Attorney
- ☐ Priority Document
- ☐ Information Disclosure Statement
- ☐ PTO Form 1449 including references
- ☐ Assignment Recordation Form
- ☐ Assignment
- ☐ Notice to File Missing Parts

- ☒ Preliminary Amendment
- ☐ Issue Fee
- ☐ Petition under
- ☐ Request for Refund
- ☐ Sequence Listing (PAPER)
- ☐ Computer Readable Format (DISK)
- ☐ Status Inquiry
- ☐ Request Certificate of Correction
- ☐ Request for Corrected Filing Receipt
- ☐ Request for Corrected Assignment
- ☐ Extension of Time month

☒ Other PCT Transmittal, Specifications: Marked-Up, Amended (Clean Copy), English translation, amended claims, Appln. Data Sheet, Forms 210/220/416/409

RECEIVED BY THE UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKETED

DT02 Rec'd PCT/PTO

14 JUL 2004

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